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Jc962 U.S. PTO

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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY  
PATENT APPLICATION  
TRANSMITTAL

Attorney Docket No. 16458-056

First Inventor GU, Youfan

Title METHOD FOR DEACTIVATING AND REMOVING ALUMINUM  
CHLORIDE VAPOR FROM ALUMINUM ETCH EFFLUENT

Express Mail Label No. EM590191208US

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification (Total Pages )  
(preferred arrangement set forth below)
- Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) (Total Sheets )
5. Oath or Declaration (Total Pages )
- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for a continuation/divisional with Box 18 completed)
- i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATIONS PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. §3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other: \_\_\_\_\_

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP)

Prior application information: Examiner Hassanzadeh

of prior application No: 09/ 489,374

Group / Art Unit: 1763

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 17. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

(Insert Customer Number or Bar Code label here)

or ☐ Correspondence address below

Name

28286

PATENT TRADEMARK OFFICE

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

James R. Young

Registration No. (Attorney/Agent)

27, 847

Signature

James R. Young

Date

May 2, 2001

05847674-050201

Jc912 U.S. PTO

09/847674

05/02/01

<h2 style="margin: 0;">FEE TRANSMITTAL</h2> <h3 style="margin: 0;">for FY 2001</h3> <p style="margin: 5px 0 0 40px;"><i>Patent fees are subject to annual revision.</i></p>		<p><b>Complete if Known</b></p>	
		Application Number	
		Filing Date	
		First Named Inventor GU, Youfan	
		Examiner Name	
		Group / Art Unit	
TOTAL AMOUNT OF PAYMENT (\$)		1052.00	
		Attorney Docket No. 16458-056	

METHOD OF PAYMENT (check one)					
1.	<input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:  <div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;"> Deposit Account Number: 03-1725 </div> <div style="border: 1px solid black; padding: 2px;"> Deposit Account Name: Chrisman, Bynum &amp; Johnson </div> <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27				
2.	<input checked="" type="checkbox"/> Payment Enclosed:  <input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other				
FEE CALCULATION					
1. BASIC FILING FEE					
Large Entity Fee Code	Small Entity Fee Code				
Fee (\$)	Fee (\$)				
Fee Description	Fee Paid				
101	710	201	355	Utility filing fee	710.00
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	
SUBTOTAL (1)					(\$ 710)
2. EXTRA CLAIM FEES					
Total Claims	39	-20	=	19	X
Independent Claims	3	-3	=	0	X
Multiple Dependent			X		=
Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid		
103	18	203	9	Claims in excess of 20	
102	80	202	40	Independent claims in excess of 3	
104	270	204	135	Multiple dependent claim, if not paid	
109	80	209	40	** Reissue independent claims over original patent	
110	18	210	9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					(\$ 342.00)

3. ADDITIONAL FEES					
Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	130	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify) _____					
*Reduced by Basic Filing Fee Paid					SUBTOTAL (3)

\*\*or number previously paid, if greater; For Reissues, see above

SUBMITTED BY		Complete (if applicable)			
Name (Print/Type)	James R. Young	Registration No. Attorney/Agent	27,847	Telephone	303-546-1300
Signature		Date	May 2, 2001		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Applicants:	Youfan Gu	)	
		)	Art Unit:
Serial No.:	Not Yet Assigned	)	Not Yet Assigned
		)	
Filing Date:	Not Yet Assigned	)	Examiner:
		)	Not Yet Assigned
Title:	METHOD FOR REMOVING CONDENSABLE)		
	ALUMINUM CHLORIDE VAPOR FROM )		
	ALUMINUM ETCH EFFLUENT )		
		)	
Our File No.:	16458-045	)	

I hereby certify that the following documents:

1. Patent Application (including thirty-nine (39) pages of specifications, seven (7) pages of claims (1-39), and Abstract) entitled METHOD FOR REMOVING CONDENSABLE ALUMINUM CHLORIDE VAPOR FROM ALUMINUM ETCH EFFLUENT;
2. Thirteen (13) sheets of drawings (Figures 1-13);
3. Transmittal;
4. Check No. 85750 in the amount of \$1052.00 (filing fee only);
5. Declaration for Patent Application with Power of Attorney executed by the inventor; and

Return Postcard are being deposited with the United States Postal Service as EXPRESS MAIL  
POST OFFICE TO ADDRESSEE, postage prepaid, EXPRESS MAIL LABEL NO.  
EM590191208US in an envelope addressed to: Assistant Commissioner for Patents, BOX  
PATENT APPLICATION, Washington, D.C. 20231, on this 2nd day of May, 2001.

James Young

09847674-0506201